



#26  
CPA  
y. rovingen  
8/13/03

CONTINUED PROSECUTION APPLICATION (CPA)  
REQUEST TRANSMITTAL

Submit an original, and a duplicate for fee processing  
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

Commissioner for Patents  
Box CPA  
Washington, DC 20231

Attorney Docket No.: 49657-274  
First Named Inventor: Eijii Hasunuma  
Examiner: S. Loke  
Group Art Unit: 2811

This is a request for a Continuation application under 37 CFR 1.53(d). (continued prosecution application (CPA)) of prior application number 09/227,935, filed on January 11, 1999, entitled SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD THEREOF.

NOTES

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b) and filed on or after June 8, 1995, or (2) the national state of an international application in compliance with 35 USC 371 and filed on or after June 8, 1995.

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 USC 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 USC 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 USC 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

1. ☐ Enter the unentered amendment previously filed on under 37 CFR 1.116 in the prior nonprovisional application.
2. ☒ A preliminary amendment is enclosed
3. This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
  - a. ☐ DELETE the following inventor(s) named in the prior nonprovisional application:
  - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
5. Information Disclosure Statement (IDS) is enclosed:
  - a. ☐ PTO-1449
  - b. ☐ Copies of IDS Citations

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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
09/227,935	01/11/1999	2811	760	49657-274	14	7	2

20277

MCDERMOTT WILL & EMERY  
 600 13TH STREET, N.W.  
 WASHINGTON, DC 20005-3096

CONFIRMATION NO. 7512

CORRECTED FILING RECEIPT



\*OC000000010691499\*

Date Mailed: 08/13/2003

Receipt is acknowledged of a CPA in this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

EIJI HASUNUMA, HYOGO, JAPAN;  
 HIDEKI GENJO, HYOGO, JAPAN;  
 SHIGERU SHIRATAKE, HYOGO, JAPAN;  
 ATSUSHI HACHISUKA, HYOGO, JAPAN;  
 KOJI TANIGUCHI, HYOGO, JAPAN;

## Domestic Priority data as claimed by applicant

## Foreign Applications

JAPAN 10-222824 08/06/1998

If Required, Foreign Filing License Granted: 08/13/2003

CPA filed on: 05/20/2003

Projected Publication Date: 11/20/2003

Non-Publication Request: No

Early Publication Request: No

Title

## SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD THEREOF

Preliminary Class

257

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

	NO. OF CLAIMS		EXTRA CLAIMS	RATE	AMOUNT
Total Claims	4	-20	0	\$18.00 =	\$0.00
Independent Claims	1	-3	0	\$84.00 =	\$0.00
Basic Application Fee					\$750.00
If multiple dependent claims are presented, add \$0.00					\$0.00
Total Application Fee					\$750.00
Subtract ½ if small entity					\$0.00
<b>TOTAL APPLICATION FEE DUE</b>					<b>\$750.00</b>
<b>AMOUNT TO BE CHARGED TO DEPOSIT ACCOUNT NO. 500417</b>					<b>\$750.00</b>

6. Small entity status:
- a. ☐ A small entity statement is enclosed.
  - b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
  - c. ☐ Is no longer claimed
7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 500417;
- a. ☒ Fees required under 37 CFR 1.16.
  - b. ☒ Fees required under 37 CFR 1.17.
8. To the extent necessary, a petition for an extension of time under 37 CFR 1.136 is hereby made. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 500417 and please credit any excess fees to such deposit account.
9. ☐ Suspension of action of the above-identified application is requested under 37 C.F.R. § 1.1.03(c) for a period of \_\_\_\_ months. (Period of suspension shall not exceed 3 months; Fee under 37 C.F.R. § 1.17(i) required)
10. Additional Attachments:
- a. ☐ Petition For Extension of Time
  - b. ☐ Other:

NOTE: The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

Respectfully submitted,

MCDERMOTT, WILL & EMERY

*Gene Z. Rubinson*

Gene Z. Rubinson  
Registration No. 33,351

600 13<sup>th</sup> Street, N.W.  
Washington, DC 20005-3096  
(202) 756-8000:GZR:lnm  
Facsimile: (202) 756-8087  
Date: April 25, 2003



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Applicant: Eiji HASUNUMA, et al. Docket No. 49657-274 Serial/Reg./Patent No. 09/227,935

Title: SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD THEREOF

Date Sent: 4/25/2003 ☒ Hand Carried ☐ Fax ☐ Electronic ☐ Cert. of Mailing ☐ Express Mail No. \_\_\_\_\_

☒ Transmittal Letter ☐ New Patent App ☐ Utility ☐ Design ☐ Cont. ☐ CIP ☐ Div. ☐ PCT ☒ CPA ☐ RCE ☐ Prov

☐ Other: \_\_\_\_\_ Letter submitting \_\_\_\_\_ pages of drawings  
☐ Req. for Approval of Drawing Amendments  
☐ Req. for Oral Hearing  
☐ Not. of Appeal ☐ Appeal Brief ☐ Reply Brief  
☐ Rule 312 Amendment/Letter  
☐ Req. for Acknowledgement of Cited Art  
☐ Issue Fee  
☐ Publication Fee  
☐ Req. for Certificate of Correction  
☐ Maintenance Fee for \_\_\_\_\_ years after grant  
☐ Fee Address Indication Form  
☐ Terminal Disclaimer  
☐ Petition to Commissioner  
☐ Status Inquiry  
☐ Other

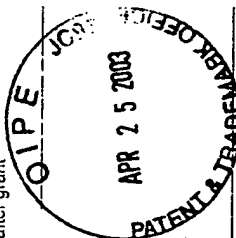
☐ Small Entity ☐ Large Entity  
☐ Declaration/Power of Attorney  
☐ Recordation of Assignment/Security Agreement  
☐ Information Disclosure Statement  
☐ Form PTO 1449

☐ Preliminary Amendment  
☐ Response to Missing Parts Notice  
☐ Resp. to Notice to Correct App. Papers  
☐ Certified Copy of Priority Doc.  
☐ Claim for Convention Priority  
☐ Response/Amendment to Office Action of \_\_\_\_\_  
☐ Request for \_\_\_\_\_ month Extension of Time

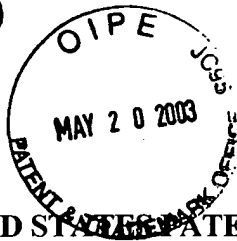
Check for \$	<input checked="" type="checkbox"/> Charge Deposit Acct. 500417\$	750	Atty Init	GZR	Trkpr. #	4233	Secy. or PL	LN, Marceron
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CMS Descrpt.: #1 - 750

THE PATENT AND TRADEMARK OFFICE DATE STAMPED HEREIN IS ACKNOWLEDGEMENT THAT THE ITEMS, CHECKED ABOVE, WERE RECEIVED BY THE PTO ON THE DATE STAMPED.



Docket No.: 49657-274



#27K  
Pre-Amendment  
of Robinson  
PATENT  
8/13/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Eiji HASUNUMA, et al.

Serial No.: 09/227,935

Group Art Unit: 2811

Filed: January 11, 1999

Examiner: S. Loke

For: SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD THEREOF

PRELIMINARY AMENDMENT

Commissioner for Patents  
Washington, DC 20231

Sir:

Amendment of the claims as set forth below is respectfully solicited.

To the extent necessary, a petition for an extension of time under 37 C.F.R. 1.136 is hereby made. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 500417 and please credit any excess fees to such deposit account.

Respectfully submitted,

MCDERMOTT, WILL & EMERY

Gene Z. Robinson  
Registration No. 33,351

600 13<sup>th</sup> Street, N.W.  
Washington, DC 20005-3096  
(202) 756-8000 GZR:lnm  
Facsimile: (202) 756-8087  
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